

# IRON ACTON PARISH COUNCIL RISK REGISTER AND MANAGEMENT STRATEGY

## Key:

**L = low**

**M = medium**

**H = high**

## A. Finance and Public Liability

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/MITIGATION
A1	<b>Fraud or Other Financial Irregularity</b>	Dishonesty; error or inadequate control systems	Financial loss and reputational damage; possible censure by South Gloucestershire Council	L	H	Effective and up to date financial control systems and checks on compliance; regular internal and external audit - <i>In place</i>
A2	<b>Budget Overrun</b>	Unplanned liabilities; inadequate control systems; failure to set precept	Deficit budget; bankruptcy; critical audit report	L	H	Effective and up to date financial control systems; effective budget setting; monthly financial reports to council; maintenance of appropriate expenditure reserve – <i>In place</i>
A3	<b>Value for Money:</b> failure to achieve best value	Failure to comply with good contract letting practice; delays in paying invoices	Poor value for public money; unnecessary costs to Council; possible censure by parishioners; critical audit report	L	M	Effective and up to date financial control systems; clear expenditure mandates and responsibilities including for urgent payments; competitive tendering for major contracts – <i>In place</i>
A4	<b>Grass Cutting:</b> failure of contract	Bankruptcy or inadequacy of contractor	Reduced amenity for users or open space; visual deterioration;	M	L	Effective contract letting systems; checks on viability and effectiveness of contractors before letting; performance checks and right

			financial cost to council			to terminate contract for non-compliance – <i>In place</i>
A5	<b>Injury or Death:</b> of users of Council owned land, facilities or equipment; of participants in Council arranged or authorised activities	Accident; abuse of play equipment; falling timber in Chill Wood; falling in stream in Meadows or into Dyer's Pond; inadequate safety arrangements or negligence	Death/injuries sustained by individuals and pain and suffering for them and families; financial liabilities for council; reputational damage to council and parish; health and safety prosecution	M	H	Proper maintenance of land, trees, facilities and equipment; public notices on authorised and safe use of land, equipment and facilities, and warning of hazards; regular visual inspection by councillors; means for parishioners to report unsafe activities or equipment to councillors; annual professional inspection of play equipment; control/limiting of public access where necessary; contractual requirement of safety measures and public liability insurance for authorised third party activities; council public liability insurance – <i>In place</i>
A6	<b>Other Legal Liability</b>	Unexpected claim from third party; contractual dispute	Potential financial loss; damage to council's reputation	L	M	Following adopted financial regulations and council procedures; public liability insurance; seeking professional advice as necessary – <i>In place</i>

## B. Physical and Electronic Assets

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/ MITIGATION
B1	<b>Village Green, Latteridge Green, Dyer's Pond:</b> unlawful occupation; unauthorised use; damage by vehicles; drowning in pond	Inadequate supervision; impunity from consequences of transgression; failure of grass cutting contract; absence of warning signs on pond	Loss of amenity for parishioners and visitors; costly damage to Greens/legal costs; visual intrusion and nuisance for neighbouring residents; see A5 above	M	M	See A4 above; public oversight by neighbours, dog walkers and other users; notices forbidding parking off public highway; regular inspection by Parish Councillors; immediate action in event of unlawful or unauthorised use; see A5 above – <i>In place</i>

B2	<b>Parish Meadows:</b> unlawful occupation; unauthorised use of open space and/or facilities; vandalising of facilities; flooding; vehicle/fire/litter damage to grass; conflict over right to use tennis courts and between tennis and basketball players; drowning in stream	As for B1 above; vehicular access left unprotected or lock combination widely known; inadequate contractual requirements for authorised users or failure to comply; failure of court booking system; absence of warning signs on stream	As for B1 above; council left with costs of clean-up or remediation; reduced amenity for regular users such as dog walkers; risk to neighbouring properties from flooding; users in conflict over who has precedence on courts	M	M	As for B1 above (except parking notices); regular checks that vehicular access bar closed and changes to lock combination; maintenance of stream and entrance to culvert to allow full water flow; post-event checks by councillors and reminders to event organisers as necessary; effective booking system for tennis court/basketball hoop use including signage on court entrance – <i>In place</i>
B3	<b>Cemetery adjacent to St James the Less Church:</b> inadequate provision for future burials; ineffective recording of burial names and geography; poor maintenance of graves and grounds; vandalising of graves	Poor planning of demand for grave space; poor or lost records of burials; failure of grass cutting contract; inadequate checks on site	Loss of opportunity for future burials in parish; upset and pain for families and friends unable to locate graves of relatives or finding them damaged; loss of valuable family and historical records; loss of visual amenity	L	M	Future demand planning and securing of extra land if necessary; a measured plan of the geography of the burial ground showing location of existing graves and available spaces; full recording of burial names and geography in the burial book with a separate, regularly updated copy kept in a separate location; regular inspection of burial ground to check maintenance and identify early any vandalism – <i>In place</i>
B4	<b>Parish Allotments:</b> failure of tenants to use and maintain plots; <u>Nibley Lane site</u> – failure of management committee to pay rental on behalf of tenants or secure value for money from council grants; <u>Station Road site</u> –	Inadequate inspection of sites and follow-up; <u>Nibley Lane site</u> – collapse of management committee; inadequate financial controls for grants; <u>Station Road site</u> – inadequate records of	Loss of amenity to parish and reduced income for council; poor value for money for council resources; lack of clarity on which tenants have paid plot rent	L	L	Inspection of allotments twice a year with follow-up to management committee or tenants as necessary; contingency arrangements should management committee fail; requirement that all recipients of financial provision from council comply with relevant value for money provisions of council's financial regulations and report annually on their stewardship of money; requirement that all rental

	failure of individual tenants to pay rental to council; ambiguity as to who has paid	payments and follow-up; informal, un-receipted cash payments by tenants				payments by individual tenants are made to, and receipted by clerk – <i>In place</i>
B5	<b>Chill Wood:</b> injury to visitors from falling timber; loss of amenity and ecological value; inadequate access for users; damage resulting from inappropriate use (eg dirt bikes)	Poor management leading to: danger from trees and rotten limbs; dense undergrowth damaging wild flowers and regeneration of trees; over-grown paths; uncontrolled access and poor supervision	Deterioration of a valuable site of ancient woodland with consequential loss of ecological diversity and local amenity; perception that the council has failed to honour the responsibilities it took on when it accepted the gift of Chill Wood	H	M	Securing and acting on professional advice on the best way to manage the wood to protect its ecological and amenity value and ensure ready and safe access by parishioners; taking steps to prevent inappropriate uses which could damage the wood and risk injury to walkers – <i>In place</i>
B6	<b>Council Notice Boards, Fixed Notices and Benches:</b> damage through neglect or vandalism; loss of means of communicating with parishioners	Inadequate maintenance or unidentified damage	Loss of means of communication with parishioners; loss of safety information, information on appropriate use of facilities; loss of amenity	L	L	Regular inspection and maintenance of notice boards and other notices within parish, and of benches – <i>In place</i>
B7	<b>Electronic Assets:</b> loss of council's computer equipment; loss of records of council finances, meetings, activities, reports, correspondence and other documents	Failure, theft or loss of clerk's computer and other IT equipment	Significant damage to effectiveness of council and clerk; financial loss to council; consequential loss of accountability to parishioners; potential unauthorised access to confidential material; loss of historical records	H	H	Keeping computer and related equipment safe and locked up when not in use; using anti-virus software; maintenance and updating of equipment; taking regular backups of all electronic data and keeping these in a separate, secure location; insurance against equipment loss – <i>In place</i>
B8	<b>Other Council Assets:</b>	Burglary, fire, theft or	Loss of historically	L	L	Ensuring assets are stored securely; checking

	loss of, or damage to council Chain of Office, land deeds, physical records and historical papers	neglect	valuable chain, deeds, records etc; perception that council has failed properly to protect its property			all land deeds are registered with Land Registry – <i>In place</i>
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### C. Business Delivery/Continuity

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/MITIGATION
C1	<b>Chair, Vice-Chair and/or Majority of Councillors:</b> incapacity, resignation or ineffectiveness of one, both or many	Ill health, family or work demands, relocation, disinclination	Loss of authority, expertise, knowledge of council's history and ways of working; loss of quorum	L	L/H	Ensure both chair and vice-chair posts filled; elect replacements if necessary to officer posts; co-opt replacement councillors if necessary; trigger bye-election if required – <i>In place</i>
C2	<b>Clerk/Proper Officer/RFO:</b> incapacity, resignation	Ill health; family demands, relocation, alternative employment	Inability of council to undertake its normal business; difficulty accessing bank accounts	M	M	Ensure chair, vice-chair and other councillors have signing powers as back-up to those of clerk; ensure clerk serves notice before leaving council's employment; seek help if necessary from clerks to neighbouring parishes; recruit replacement clerk if necessary – <i>In place</i>
C3	<b>Bank Accounts:</b> freezing of account or inaccessibility of financial assets	Clerk or other signatories unavailable; court action following alleged fraud	Inability of council to meet its financial obligations	L	H	Sufficient financial signatories to ensure resilience; separate reserve account and current accounts – <i>In place</i>

## D. Employer

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/ MITIGATION
D1	<b>Employer Responsibilities:</b> failure to comply with employment law and good practice with respect to clerk	Ignorance of legal requirements; excessive informality in employer/employee interaction	Employee stress, dissatisfaction and potential resignation	L	M	Ensure clerk managed effectively by chair with support of deputy chair; provide training to councillors and or clerk as necessary on good employment practice – <i>In place</i>
D2	<b>Clerk/Proper Officer/RFO's Duties:</b> clerk unclear of duties and unable to work efficiently	Lax management by employer; all councillors seeking to instruct clerk and giving contradictory instructions	Clerk unhappy, unclear of duties and unable to work effectively	L	M	Ensure clerk managed and instructed by chair only, or vice-chair in chair's absence; set out clerk's duties clearly and in writing, including job description; provide regular two-way feedback on performance and ways of working – <i>In place</i>
D3	<b>Clerk's Salary:</b> not paid, paid late or incorrect amount; employer and employee NI payments wrong, late or incorrectly attributed	Inadequate procedures; slow to update changes in salary	Under/over/late payment of clerk creating financial difficulties or necessitating repayment; incorrect or late payment or recording of NI	L	L	Effective procedures in place; pay by direct debit where feasible; regular financial checks as set out in adopted financial regulations; regular audit of payments and accounts - <i>In place</i>
D4	<b>Health and Safety:</b> failure to meet employer health and safety obligations to clerk	Unacceptable working conditions or hours	Potential damage to health or well-being of clerk	L	L	Clerk works part time and flexible hours, primarily from home with high degree of autonomy in working times and conditions; chair to check during regular feedback sessions that conditions and equipment meet reasonable working needs of clerk and statutory requirements – <i>In place</i>

## E. Propriety and Reputation

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/ MITIGATION
E1	<b>Councillor Conflict of Interest:</b> real or apparent; breach of code of conduct	Perception that undeclared interests of councillor have been advanced by decision of council	Damage to reputation of councillor and council; breach of code of conduct for local council members; potential censuring of member or council	L	M	Register of member interests maintained and updated as necessary for all councillors; declaration of interest required at start of each council meeting where members have or appear to have an interest in an agenda item; councillor training – <i>In place</i>
E2	<b>Councillors Benefit Financially:</b> real or apparent benefit from membership of Council	Payments to councillors by Council	Potential perception that councillors serve for financial reward rather than in the interests of parishioners	L	L	No councillors are paid for their time or their expenses – <i>In place</i>
E3	<b>Party Political Interests:</b> Councillors seen to pursue party political interests at expense of parishioners	Perception that decisions are made and interests pursued to advance political parties rather than interests of parishioners	Loss of confidence in the independence and integrity of councillors	L	L	No councillors sought election or co-option on the basis of any party political affiliation; all councillors participate in meetings on a personal basis – <i>In place</i>
E4	<b>Neglect of Duties:</b> Councillors seen to neglect duties and interests of parishioners	Failure to attend council meetings; failure to address issues of concern and significance in parish; failure to take account of parishioners' views	Loss of faith in commitment and integrity of councillors and of the council as a whole	L	L	Council meetings well attended by councillors and frequently by parishioners interested in particular agenda items; council has demonstrated sensitivity to opinions of parishioners, taking these into account through consultation events and special council meetings - <i>In place</i>